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January 10, 2018

VIA CERTIFIED MAIL - RETURN
RECEIPT REQUESTED (7106 0910 0002 2197 8704)

Bradley B. Rounsaville, Esq.
Bressler, Amery & Ross
2001 Park Place N.
Suite 1500
Birmingham, AL 35203

Re: ***In the Matter of Joseph Sidney Dumas***
Chapter 7; Case No. 16-50095

Dear Mr. Rounsaville:

Please find enclosed herewith a Subpoena for Rule 2004 Examination requiring production of documents only. We are requesting documents related to a settlement of a FINRA claim between Sidney Dumas, and others, and LPL Financial, which is your client. We are looking for non-privileged documents between you, on behalf of LPL, and an attorney named Jonathan E. Neuman, who represented the Debtor and other plaintiffs in the FINRA proceeding.

We have already filed an adversary proceeding against Neuman, but the Order approving this subpoena was issued prior to the filing of the lawsuit so that I believe it is appropriate for this subpoena to be served upon you.

Please note that we have made the subpoena returnable for January 17, 2018 but, if compliance within that time frame is not possible for you, we will agree to extend it.

Thanking you, I am

Very truly yours,

/s/ Fife M. Whiteside

Fife M. Whiteside

FMW:klo

Enc.

cc: David Bury, Esq. (w/enc.)
Stephen Drobny, Esq. (w/enc.)
Walter M. Flatau, Esq. (w/enc.)
Clerk, for electronic filing (w/o enc.)